



Express Mail No.: EL 477 034 015 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Bernard J. Albanese and
Barry M. Mindes

Application No.: 09/972,480

Group Art Unit: 2161

Filed: October 5, 2001

Examiner: To be assigned

For: SYSTEM AND METHOD FOR
PROTECTING POSITIONS IN
VOLATILE MARKETS

Attorney Docket No.: 8085-007

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Group 2100

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. 1.97 AND 1.98

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, I am hereby
inform the Patent and Trademark Office of all references
cited by Applicants or Attorneys for Applicants which are or
may be material to the claimed invention, enclosed is a List of Reference
citations in chronological order for the Examiner's convenience.
References are enclosed for the Examiner's convenience.

Identification of the above-listed references is required for the
admission of Applicants or Attorneys for Applicants to the
"prior art" against the subject application. Consideration of the
use form PTO-1449, since that form identifies the references as
"Art." As an alternative, Applicants submit the following
"List of References Cited by Applicant."

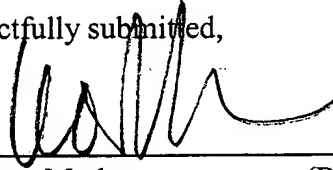
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Applicants respectfully request that the Examiner review all the references identified on the attached revised Form PTO 1449, and that they be made of record in the file history of the above-captioned application.

No fee is believed to be due for this submission, since the Information Disclosure Statement is being made before an initial Office Action on the merits of the above-identified application. Should any fee be required, however, please charge such fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A duplicate of this sheet is enclosed for accounting purposes.

Respectfully submitted,



Date: January 22, 2002

By: Leo Merken

(Reg. No. 41,192)

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Enclosures